

Checkpoint

**Creating Your Library's Future  
With the *Upgrade Process***

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# Introduction

This booklet is designed to help library boards and librarians assess their community's progress toward full compliance with the *Upgrade Process* standards and to pinpoint what needs to be done to reach and maintain Certified Public Library status.

What are the benefits of becoming a Certified Public Library in Utah?

1. Receive full support services from the State Library Division.
2. Qualify for state library services development grants.
3. Qualify for participation in the competitive federal grant program.
4. Qualify for other state competitive grants, when available.

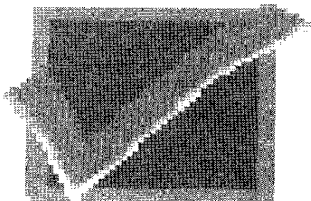
On July 10, 1997 the State Library Board approved revisions to the *Upgrade Process* Standards. The section governing uncertified library jurisdictions, that are striving to reach certification, reads as follows:

New library jurisdictions are required to meet **all** certification requirements before Certified Public Library Service status is extended to them. Thereafter, provisional certification will be given in the case of a director resigning and a new one being hired who does not meet the personnel requirement so long as the director is actively engaged in meeting that requirement.

New jurisdictions meeting all certification requirements are eligible for Public Library Service Developments Grants **at such time as the grant fund is expanded sufficiently to cover the amount the new jurisdiction would be eligible to receive.** All certified library jurisdictions are eligible to compete for and receive all other state and federal grants.

**Explanation:** There is a concern that if the Public Library Service Development Grant “pie” remains static, each new jurisdiction that is added will cut the slice available to the others. New jurisdictions are urged to consult with their state representatives on the issue of expansion of the grant fund.

A Certified Public Library is expected to maintain the *Upgrade Process* standards set by the State Library. Failure to do so will mean a loss of certification and a loss of the benefits listed above.



# **Certified Public Library Service Standards**

## **Governance**

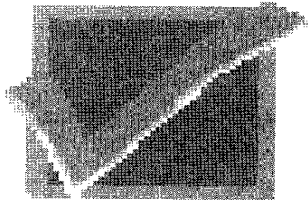
1. Governance of library services in the local jurisdiction is consistent with existing Utah statutes (UCA Title 9, Chapter 7) and local ordinances. The library board is responsible for establishing, or recommending the establishment of, library service objectives and policies.
2. The library board meets at least quarterly, and its activities conform to Utah's "Sunshine Law" (Title 52, Chapter 4) and other relevant statutes, which require open public meetings advertised in advance with written minutes.
3. Board appointments are current, as required by Utah statutes (UCA Title 9, Chapter 7). The names of board members, terms of office and changes in membership are forwarded as requested to the State Library.

## **Funding**

1. Library services are supported on a permanent basis by a direct property tax levy, local government general funds, other special or endowment funds, or any combination of the foregoing sources. At least fifty percent (50%) of local library service funding is supplied from local sources.
2. A formal annual budget includes line items for major expenditure categories such as personnel, library collections, operations and capital outlay.

## **Housing and Access**

1. Library services are provided through facilities that are public owned, leased, or contracted for, and are publicly maintained.
2. In order to serve a broad segment of the community, fixed-site libraries are open to the public for a minimum of twenty (20) hours per week, with the schedule including both evening (after 5:00 p.m.) and weekend hours. Bookmobile library service schedules allow a minimum of thirty (30) minutes for each stop. Library service schedules for both fixed site libraries and bookmobiles are clearly posted in appropriate locations and widely disseminated through the potential user population.



3. Patrons have access to library services by telephone. Fixed-site libraries have a telephone listed under the library's name and are accessible to the public by telephone during all library hours. When service is provided through bookmobiles, patrons have telephone access to the bookmobile library.

## **Personnel**

1. Library services are provided by one or more permanent staff members, paid by public funds (state/local), who are accountable to the library board and local elected officials for the community's library service program.
2. The staff member specifically charged with the administration of the library has acquired (or is in the process of acquiring) formal library training through an institution of higher education, or the Utah State Library's training program (UPLIFT), or has acquired equivalent expertise and training.

## **Materials**

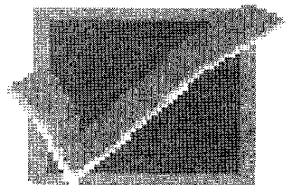
1. Budgeted monies are expended annually in purchasing materials selected on the basis of a current written collection development policy formulated by the librarian and the local library board and intended to meet community needs.
2. The formal organization and management of the collection includes the following: a) materials are systematically cataloged, and arranged using a formal classification system; b) a public catalog is maintained giving bibliographic access to holdings; c) a circulation system is maintained.

## **Services**

1. Basic library services, reference and circulation, are provided without charge to residents of the local jurisdiction.
2. The librarian makes State Library interlibrary loan and reference support services available to patrons.

## **Reporting**

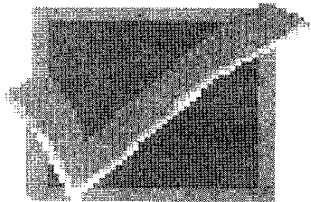
1. The librarian reports in a timely and accurate manner the information requested for *Utah Public Library Service: An Annual Report*.



2. The library complies in a timely and accurate manner to special surveys undertaken by the State Library.

## **Planning and Evaluation**

1. The library board, in partnership with the library director and other stakeholders, engages in ongoing and comprehensive planning activities, including an evaluation of how the previous planning year's goals and objectives were met, setting overall goals and objectives for the upcoming planning year, plans to evaluate the success of the goals that are set, and plans to promote library services through advocacy or public relations activities.
2. The library board annually submits planning documents to the State Library Division, including an evaluation of the past planning year's goals and objectives, goals and objectives for the upcoming planning year with evaluation components, tentative plans for using state Public Library Service Development Grant money, public relations and advocacy plans, and copies of technology assessments or plans.



# Yearly General Requirements

One of the benefits of a Certified Public Library is the eligibility for state and federal grants. However, to qualify for the state Public Library Service Development Grants, the following requirements must be met each year (over and above the certification standards). Failure to meet these requirements will not change the certification status of the library, but will affect their receipt of the state development grant for that year.

**Maintenance of Effort:** The local government must expend from local government sources an aggregate amount for library service (exclusive of capital outlay) of not less than 90 percent of that actually expended in the second preceding fiscal year.

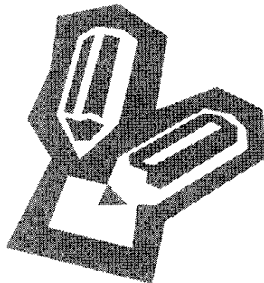
**Allowed Uses of the State Public Library Service Development Grant:** Grant monies must be expended by the public library for the purpose of improving library service. Said expenditures must follow the guidelines laid out by the State Library Division and must be spent by the deadlines established.

**Reporting:** A brief narrative and financial report must be filed with the State Library Division detailing how the state grant was spent. Spending and reporting deadlines will be specified in each year's agreement between the State Library and the local library board.

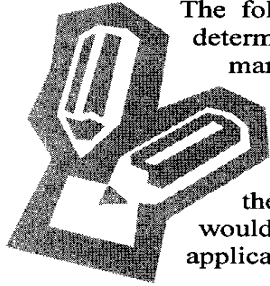
**Audits:** the local jurisdiction must make library financial records available for financial audit or inspection if requested. Records must be kept in such a manner that each grant can be audited separately.

**Planning and Evaluation:** The public library board must submit annual planning documents to the State Library Division. These documents should include:

- An evaluation of the previous planning year's goals and objectives,
- Goals and objectives for the upcoming planning year (with evaluation components),
- Tentative plans for using state Public Library Service Development Grant money,
- Public relations and advocacy plans, and
- Copies of technology assessments or plans.



# Checklist



The following checklist is a tool to enable the librarian and library board to determine their compliance with the *Upgrade Process* standards. Those items marked with asterisks (\*\*) are details of the actual standards that must be met (see page 4). The other items are meant as suggestions that may facilitate the efficient provision of library services.

Use the “Check” column to indicate the standards that have been met, and the “Where Info Is Located” column to indicate where a new board member would go to verify compliance with the standard. The latter may not be applicable to all of the entries. In those cases, a “NA” would suffice.

	<b>Governance</b>	Check	Where Info Is Located
**	Our board members are appointed by either the city council or the county commission.		
**	Our board has between five and nine voting members.		
**	One, and only one trustee is also a member of the city council or county commission.		
**	Our board chair is elected yearly.		
**	City boards members serve terms of three years, county board members serve terms of four years.		
**	Expirations of terms are staggered so that there are experienced members on the board at all times.		
**	As terms expire, new members are appointed by the first of July.		
**	Vacancies occurring through resignations or other reasons are filled by appointments for the unexpired term.		
**	No member of the library board has served more than two consecutive full terms. (Exceptions: council/commission members)		
**	Board members are appointed for specific terms, and changes are reported to the State Library.		
**	The board establishes policies and goals for library service.		
**	The library board meets at least quarterly.		
	The librarian attends all library board meetings.		
**	All library board meetings conform to Utah’s “Sunshine Law.”		



	<b>Governance (cont)</b>	Check	Where Info Is Located
**	Notice of the board meeting is publicized (published in newspaper, posted on bulletin board, etc.).		
	An agenda is established for all board meetings and is distributed in advance of the date of the meeting.		
**	Minutes of all board meetings are distributed to members and a file is kept of all the minutes.		
	The library board makes reports to the appropriating body and to the community.		
	<b>Funding</b>		
**	Our library is funded on a permanent basis through a certified tax rate, general fund, other special or endowment funds, or any combination thereof.		
**	At least 50% of funds are received through local sources.		
**	There is a formal annual budget for library services.		
**	Budget includes line items for: personnel, library collection, operations, and capital outlay.		
	Librarian and library board are involved in the budget planning.		
	Budget is presented to the appropriate body by the library board.		
	Bookmobile service boards are prepared to help negotiate and formalize county bookmobile contracts.		
	<b>Housing and Access</b>		
**	Our library services are provided through a facility that is publicly owned, leased, or contracted for, and is publicly maintained.		
**	Our library is open to the public at least 20 hours a week.		
**	Bookmobile library service stops are at least 30 minutes long.		
**	The library is accessible to the public some evening (after 5 p.m.) and weekend hours.		
**	Our library hours are posted and published for wide distribution through newspapers, bulletin boards, etc.		
**	Our library is listed under its name in the telephone book.		

	<b>Housing and Access (cont)</b>	Check	Where Info Is Located
**	Our library can be reached by telephone whenever it is open.		
**	Bookmobile patrons have telephone access through the bookmobile library.		
	<b>Personnel</b>		
**	Our library services are provided by a permanent, paid staff member designated as librarian.		
**	Our librarian has formal library training through an institution of higher learning, or has begun training through UPLIFT, or has acquired equivalent training.		
	<b>Materials</b>		
**	Money is expended annually for the purchase of materials.		
**	The librarian and library board have a current, written collection development policy which guides the purchase of materials and which reflects community needs.		
**	Non-fiction books can be located on the shelves in our library by the Dewey Decimal or Library of Congress call number assigned to them.		
**	Fiction is organized in a systematic way, and if there are special collections, such as western or mystery, they are easy to locate.		
**	The public catalog is complete and up to date. Cards or entries for new books are added when books are shelved.		
**	Non-fiction books and materials are represented in our catalog by author, title, and subject(s); fiction by author and title.		
**	Our librarian understands and implements the concept of maintaining subject heading consistency.		
**	Someone using our library could look in the catalog and find cards or entries for all the books on the shelves		
**	If a book is not on the shelf, our library has a circulation system that records where the book is, and when it is due back.		
	<b>Services</b>		
**	There is no charge for basic library services (including reference and circulation) to our residents.		

	<b>Services (cont)</b>	<b>Check</b>	<b>Where Info Is Located</b>
**	Reference service, either using the library's collection of basic materials or reference support from the State Library, is provided to patrons.		
**	If a patron can't find an item he wants in our library, we will initiate an interlibrary loan request for him.		
	<b>Reporting</b>		
**	Our librarian submits the annual statistical report to the State Library in a timely and accurate way.		
**	Our librarian responds to surveys conducted and/or sponsored by the State Library.		
	<b>Planning and Evaluation</b>		
**	The library board, in partnership with the community, is engaging in ongoing and comprehensive planning and evaluation activities.		
**	The library board has written and submitted goals and objectives to the State Library for the coming planning year, including tentative plans for using the state development grant.		
**	The library board has written and submitted a report to the State Library on last year's goals and objectives.		
**	The library board has written and submitted a current technology assessment/plan to the State Library.		
**	The library board has developed a public relations and library advocacy plan and submitted a copy to the State Library.		

